Year 2000 Initiatives:

Record Keeping Guidelines

For the Government of Canada

December 17, 1999

Prepared by:
Year 2000 Record Keeping and Archives Working Group
The Information Management Forum

Table of Contents

1. PURPOSE 3

2. BACKGROUND 3

3. NOTES 4

4. RECORDS AND RECORD KEEPING 4

5. LEGISLATION AND POLICY 7
   - 5.1 Accountability 7
   - 5.2 Year2000 Record Keeping Policies for Government Institutions 10
   - 5.3 Government Legislation and Policy 11

6. DOCUMENTING YEAR2000 PROCESSES AND INITIATIVES 12
   - 6.1 Year2000 Processes 12
   - 6.2 Organization of Year2000 Records 13

7. RETENTION AND DISPOSITION 13
   - 7.1 Setting Retention Periods 14
   - 7.2 Authorized Disposition of Records 15

8. AWARENESS STRATEGIES 16

Appendix A - Sample Year2000 Record Keeping Policy for Government Institutions and Other Government Bodies and Jurisdictions 19

Appendix B - Legislation and Policy Affecting Year2000 Information Holdings .. 24

Appendix C - Model Subject Classification System for Year2000 28

Appendix D - Guidelines for Non Year 2000 Compliant Systems 38

Appendix E - Sample Year2000 Record Keeping Awareness Tool 41

1. PURPOSE

The purpose of this document is to identify records and record keeping issues associated with Year2000 initiatives and to provide federal government institutions and other federal government bodies and jurisdictions with practical, generic guidance that will help them deal with these issues. The primary focus is on record keeping practices in relation to operational and administrative needs and legislative, policy and/or regulatory requirements.

Note: This document contains guidelines pertinent to record keeping in the Government of Canada. As such, the guidelines do not constitute policy or standards. References to government-wide laws and policies such as the *National Archives of Canada Act (1987)* are provided to indicate to users of the guidelines where record keeping imperatives may exist.

2. BACKGROUND

As the new millennium approaches, government institutions are facing a number of challenges to ensure that their systems and services are "Year2000 compliant". Similar to recent major Government of Canada (GOC) initiatives, including Public Key Infrastructure (PKI) and Alternative Service Delivery (ASD), there are a number of common record keeping issues which should be addressed within these Year2000 initiatives. The record keeping concerns are first, related to the operational and administrative needs and legislative, policy and/or regulatory obligations of federal government institutions. Secondly, there are concerns and issues related to specific initiatives. For Year2000 initiatives such issues as accountability and liability are more prominent.

The Information Management Forum (IMF) is a committee chaired by the Office of Government Records at the National Archives of Canada. The IMF has representation (Director level or designated alternate) from over 40 departments and agencies. The mandate of the IMF is to identify and resolve record keeping issues and problems common to government institutions.

There are a number of "drivers" which caused significant discussion at the IMF, among them, accountability, liability, due diligence and the cost of Year2000 initiatives. The IMF determined that it would be beneficial to provide government institutions with generic guidance on records and record keeping issues within the Year2000 environment. The Year2000 Working Group was formed and initial meetings were held in November 1998. Discussions were also held with representatives of the Year2000 Project Office at the Treasury Board Secretariat to ensure that the activities of the working group are consistent with government-wide initiatives.

The purpose of the Year2000 Record Keeping and Archival Working Group is to provide advice to the Year2000 Project Office and to develop generic record keeping guidance (including appropriate best practices) to assist government institutions and the TBS Year2000 Project Office in the development and implementation of Year2000 initiatives.

3. NOTES

This document is based on questions raised in government institutions, other government bodies and jurisdictions and the observations, comments and experience of members of the Information Management Forum Working Group charged with preparing it. It is anticipated that it will continue to evolve over time as departments, central agencies and the National Archives continue to be involved in Year2000 initiatives.

The issues are grouped by broad subject category. They reflect the current and ongoing experience of the NA and the Information Management Forum with respect to Year2000 initiatives. This document provides a broad framework within which more detailed, institutional specific solutions can be developed. Each section of the document contains a brief summary of an issue along with general guidance. Where specific, detailed models or tools have been developed they appear in a corresponding appendix.

Further information concerning this document can be obtained from:

The Office of Government Records
National Archives of Canada
395 Wellington Street
Ottawa, ON
K1A 0N3

Tel: (613) 947-1515
Fax: (613) 947-1500

4. RECORDS AND RECORD KEEPING

Records are the lifeblood of any government institution. They provide evidence of an activity, support decision making, support the delivery of programs and services and ultimately, are used to demonstrate the accountability of an institution. Within the Year2000 environment the creation, collection and/or receipt of records and the application of good record keeping practices are essential. Not only does this need extend to records created collected or received specifically within a Year2000 initiative, but to all records of a government institution. *The following definitions are offered to help institutions better understand the nature of records and the need for good record keeping practices.*

For the purposes of this document the definitions used are those provided by the Office of Government Records in providing advice to government institutions. They are drawn from or derived from a variety of authoritative sources and are included here to assist record keeping practitioners and program staff with a basis for the guidelines. Additional information is included to provide context for the definitions and the sources are accredited where appropriate.

Record

"Record" means recorded information, regardless of physical form, created, collected or received in the initiation, conduct or completion of an activity, including any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microform, sound recording, videotape, machine readable record, and any other documentary material, and any copy thereof.

The definition is a combination of that which is found in *the National Archives of Canada Act (1987)*, *the Access to Information Act* and an interpretation developed to reflect the context in which records are used. The "including" portion of the definition of "record" is meant to be all inclusive in that it reflects the nature and intent of the definition in the NA and ATIP Acts. The bottom line is that "record" has a very expansive definition and most definitely includes machine readable records.

The definition places the concept of "record" in the context of an activity which itself is based on a purpose or intent. While something may be, by definition, a record, it is equally important to view that record from the perspective of the activity or process in which the record is used and the intent or purpose of that activity. Why was the record created, collected or received? How will it be used? Does the record support the delivery of programs and services? Is it used for decision making or to support accountability requirements? How long will it be needed? Finally, what are the laws and other statutory obligations which govern the record.

Equally important are the characteristics and qualities of the record. Is it authentic and reliable? Does it have sufficient content, context and structure to render it available, understandable and usable for as long as it is required by the institution or by the National Archives should the record be identified by the National Archives as having historic or archival importance? This definition should be applied in the context of the records of the Government of Canada.

Records of the Government of Canada

"Records of the Government of Canada" means the records of government institutions, other government corporate bodies, the legislature and the judiciary, as well as ministerial records.

Government Institutions

"Government institution" means a government institution listed in Schedule 1 to the Access to Information Act or the schedule to the Privacy Act or any institution designated by regulations of the Governor in Council as a government institution for the purposes of this Act.

This definition is taken directly from the NA Act and reflects the relationship between the NA Act and the ATIP Acts.

Under the Control of

A record is considered to be "under the control of" a government institution when that institution is authorized to grant or deny access to it, to govern its use and, subject to the approval of the National Archivist, to dispose of it. Records which are in the possession or custody of an institution, whether at headquarters, regional, satellite or other office, either within or outside Canada, are presumed to be under its control unless there is strong evidence to the contrary.

This definition is a derivative of the definition found in the Privacy volume (Chapter 2-900, Guidelines - General, Appendix A Definitions) of the Treasury Board Guidelines on Privacy and Data Matching (July 1996). The term "personal information" has been replaced by "a record" and the phrase "direct its use" has been replaced by "govern its use".

The term "under the control of" has specific and direct usage in *the National Archives of Canada Act*, particularly in the provisions dealing with the destruction or disposition of records. While no definition is found in the NA Act, the definition found in the Privacy Guidelines provides something akin to a legislative and policy base for adopting the above definition.

It is extremely important to note that government institutions must be aware of their record keeping obligations, particularly with respect to those records created, collected or received by consultants, contractors and service providers on behalf of a government institution. Generally, all contracts and service agreements should clearly indicate the record keeping responsibilities of both parties.

Record Keeping

"Record keeping" means the act of documenting an activity by creating, collecting or receiving records and ensuring that they are available, understandable and usable for as long as they are needed.

This definition was created by the Office of Government Records at the National Archives of Canada and reflects a broader, global view of records and record keeping. There are many organizations and individuals who play vital roles in record keeping activities within a government institution. One example is the function of Records Management.

Records Management

"Records management" means the managerial processes relating to the systematic control of all records during their life cycle, including the planning, organizing, directing and controlling, and encompasses the policies, practices, procedures, systems, operations, space, equipment and people involved.

5. LEGISLATION AND POLICY

There is a broad legislative and policy framework which governs record keeping in the Government of Canada. Government institutions, organizations and individuals must be aware of their responsibilities for record keeping in their work environment. This section deals with three issues which are inherently linked to roles and responsibilities; accountability; establishing Year2000 record keeping policy(ies) for government institutions; and, legislation and policies impacting on the record keeping practices of government institutions.

5.1 Accountability

"Accountability" means; liability to give account of, and answer for responsibilities and conduct.

Given the unique nature of the Year2000 challenge, accountability and liability are very significant issues. The Government of Canada must be prepared to address governance and legal issues if programs and services cannot be delivered or internal operations maintained as a result of not meeting this challenge. Similarly, government institutions must be prepared to demonstrate what steps were taken and what decisions were made within any Year2000 initiative. Failure to provide evidence of activities, including those performed by vendors, contractors and other service providers on their behalf, can result in serious implications for government institutions. This evidence is provided by those records deemed to be "under the control of" a government institution.

The issue of "under the control of" is directly related to authority and accountability. It should be noted "control" and custody are not synonymous. There are other situations where records can be considered to be under the control of a government institution. For example, an institution may have a contract or some form of agreement in place with a service provider, agent or other organization which contains provisions for the

collection/creation, storage and/or maintenance of records *on behalf of* the government institution. These records would also be deemed to be under the control of the institution regardless of their physical location.

A key issue within those of accountability is that of **liability.** Where the Crown owes a duty to deliver services and programs to the public, the Crown could be liable if its information technology systems fail causing it to be unable to deliver such services and programs. In order to reduce the risks of the Crown being found liable in a court of law, the Crown will need to demonstrate that it took all reasonable steps in the circumstances to ensure that its systems were able to function during and after the millennium rollover, or that effective contingency or work-around plans were implemented.

The following responsibility statements have been set out to guide institutions in establishing or clarifying roles and responsibilities:

- ***The Government of Canada*** is accountable for ensuring that the information technology systems used to deliver programs and services to the public and to maintain internal operations are able to operate on and after January 1, 2000. This will better position the Government to deliver programs and services to the public.

- ***The Treasury Board*** is responsible for ensuring that departments and agencies have Year2000 compliant government-wide mission critical systems and provide leadership (through the Year2000 Project Office) in coordinating federal initiatives relating to Year2000.

- ***Industry Canada*** is responsible for promoting private sector awareness and activity related to making electronic systems and equipment Year2000 compliant.

- ***Justice Canada*** is responsible for providing advice to central agencies, government institutions and other government bodies on all legal aspects of record keeping in the Government of Canada. Included is advice on limitation periods (including provincial and territorial) under which a lawsuit can be launched or defended.

- ***The Department of National Defence*** is responsible for preparing national contingency plans to deal with Year2000 problems and for ensuring continuity of government.

- ***The Department of Foreign Affairs and International Trade*** is responsible for dealing with the international aspects of the Year2000 issue.

- ***Individual government institutions (departments and agencies)*** have responsibilities to Cabinet and Parliament for ensuring that the institution, including Crown Corporations and Agencies within their portfolio, have exercised due diligence in their respective areas to ensure their readiness for the Year2000. Each

Department is accountable to Parliament, Stakeholders and the Canadian Public for its Year2000 state of readiness. Examples of their responsibilities are:

- development of Year2000 strategies and plans,
- detailed monthly reporting to the Treasury Board,
- establishing risk assessment and contingency plans; and,
- undertaking initiatives to ensure compliance of mission critical systems (including testing in a "live" environment).

- ***Program managers/Application owners*** are responsible for leading their respective business areas including the management of their Year2000 initiatives related to their business functions and ensuring Year2000 readiness for their respective areas. Some examples are:
  - compliance with government Year2000 direction including processes and standards,
  - providing the required resources,
  - documenting Year2000 initiatives and activities in accordance with established Information Management policies, practices and standards,
  - participating in system testing and verification activities, and
  - preparing and maintaining Year2000 plans, risk assessments and detailed contingency plans.

- ***Information Management and Records Management*** specialists are responsible for:
  - ensuring that all records pertaining to Year2000 initiatives that are captured, maintained and effectively managed in corporate record keeping systems, regardless of media;
  - ensuring that record keeping practices are in compliance with the current federal government and departmental information management and record keeping policies, practices and guidelines as well as all government legislation and regulations; and
  - providing functional guidance on all life cycle aspects of managing information holdings and developing departmental retention and disposal schedules. This will be particularly important in ensuring that all organizations and individuals

exercise due diligence in the management of all information Year2000 holdings. These records will be essential in order to deal with accountability and liability issues related to Year2000.

- ***Contractors/consultants/service providers*** are responsible for maintaining good record keeping practices to ensure ample evidence of their activities on behalf of government institutions. Where appropriate, record keeping obligations should be included in any contractual agreement between the parties. Some examples include:

  - The contractor is responsible for ensuring that all information produced is in accordance with departmental Information Management policies and procedures;

  - The contractor is responsible for ensuring all technical documentation and prototypes produced in the performance of their work under contract remains the property of the government institution; and,

  - The contractor cannot divulge or use such information other than in the performance of the work under contract. The ownership of intellectual and other property rights, including copyright, shall remain the property of the Government of Canada.

Notes: *Records created, collected or received in the initiation, conduct or completion of a government activity are considered to be "under the control of" the Government of Canada regardless of where or how the records were created. Many government staff members work in remote or regional sites. Others participate in a* ***telework program*** *where the employee performs his or her duties at home. Employees should be aware of their record keeping responsibilities and government departments and agencies should ensure that Year2000 records created, collected or received at remote sites are captured and maintained in a corporate record keeping system.*

Whether teleworking or within the office environment, particular attention should be paid to electronic mail communications and electronic documents. Most organizations are implementing or evaluating electronic document management systems. Staff often use personal databases and directories to store important electronic documents including e-mail. Until such electronic document management systems are in widespread use, organizations should have in place a system or process which ensures that electronic documents are effectively captured in a corporate record keeping system.

5.2 Year2000 Record Keeping Policies for Government Institutions

While existing laws and policies govern record keeping practices in the Government of Canada (see Section 5.3), the uniqueness of the Year2000 challenge suggests that government institutions should have in place a policy or set of policies specific to record

keeping (including all aspects of the records life-cycle) and Year2000. All records created within Year2000 initiatives, in any media, clearly meet the established definitions for records of the Government of Canada. Legal advisors note that all corporate information, electronic mail messages, electronic documents, meeting notes and minutes and even personal agendas containing annotations related to Year2000 activities may be of particular importance.

While most institutions have policy development processes in place, it is highly recommended that a vigourous consultation and communication (see Section 8) plan be established to ensure that all organizations and staff are aware of the importance of Year2000 initiatives and their roles and responsibilities within these initiatives.

As in all policies, those specific to Year2000 initiatives should:

- respect existing laws, regulations and directives, policies and standards,
- be consistent with the government-wide direction,
- reflect the direction, goals and wishes of senior management,
- be consistent with the operational needs of the institution,
- reflect the views of the widest range of people including functional specialists such as Security, ATIP and Records, and
- be easy to implement.

The following list is provided to guide institutions in the identification of individuals and organizations who should be part of the consultation process:

- Minister's Office
- Executive and other management committees
- regional management and staff
- program managers/application owners
- Internal Audit
- departmental and TBS Year2000 Project Offices
- Security
- Access to Information and Privacy
- Communications
- Records, Information Management and Information Technology specialists
- Legal Services
- Office of Government Records, National Archives of Canada

Note: *Attached as **Appendix A** is an example of a departmental policy for managing information related to Year2000 initiatives.*

5.3 Government Legislation and Policy

Managing the collection, creation, organization, and retrieval of institutional information holdings has traditionally been viewed as vital to supporting effective decision-making and efficient delivery of programs and services. In recognition of the importance of information issues to modern society, statutory and policy requirements governing the administration of government records have steadily increased in recent years. (Strategic Direction for Government - Information Management, TBS, 1994).

As mentioned previously there is an existing legislative and policy framework which governs record keeping in the Government of Canada. **Appendix B** of this document provides an overview of some of the key laws and policies. Also included is a summary of other policies, standards, strategies etc. which may be of use to government institutions within the Year2000 environment.

6. DOCUMENTING YEAR2000 PROCESSES AND INITIATIVES

6.1 Year2000 Processes

Documentation in all media associated with the Year 2000 process must be captured and stored for present and future use by the Government to demonstrate that the Government took all reasonable steps in the circumstances. Documentation includes records in all media.

The documentation provides evidence of such things as how priorities were established, what alternatives were considered, why various choices were made, what remedial action was taken, and what tests were carried out. Copies of all vendor letters and follow-up actions; test procedures and final test results; changes to software or devices; contingency plans and Year 2000 general correspondence must be retained and fully documented. At the corporate management level, planning and organization documents must also be included, along with all project status reports. Government departments are responsible for reporting to Treasury Board in adherence to Year2000 compliance issues. Most departments have created a Year 2000 Project Office to develop and carry out plans to resolve the Year2000 issues.

Note: It is important to maintain a complete set of all Year2000 documentation. It is preferable to implement and maintain one subject structure for all media. Cross-referencing may be made to related subject matter. Cross-reference links between media to related information documenting the same sequence of business activity or business system from which the document was captured should also be maintained. *The capturing of E-mail and electronic documents should follow departmental policies and practices. These records are also subject to retention and disposition requirements of the National Archives of Canada including the* ***Authority for the Destruction of Transitory Records (1990).***

To facilitate retrieval of documentation in all media, a subject classification system **(see Appendix C)** or structure should be designed specific to Year 2000. The following provides an overview (not all-inclusive) of some key activities within the Year2000 process.

Activities:

- planning, obtaining dedicated finance and human resources, developing a communications plan which includes posting information on a Year2000 web site and the distribution of communiques.

- developing policies, procedures and guidelines to ensure compliance with related legislation, testing methodologies, and department business lines.

- completing a comprehensive inventory of all hardware and software: system applications, commercial off the shelf (COTS), facilities, infrastructure and related components, including execution platform, embedded systems, source code, job control, databases, data, and program language, printers/scanners, telecommunications and interfaces etc.

- identifying mission critical and non-critical systems, those deemed government wide and departmental mission critical being done first, leaving non-critical systems running into the Year 2000.

- system testing involving impact analysis, source code analysis and conversion, editing/compiling/linking utilities, testing and debugging, regression testing, and life cycle management.

- developing risk assessments on: legal, business, technical, contingency and business resumption planning.

- developing contingency and business resumption plans (Essential Records Programs should be in place to ensure that records that are vital/essential to the delivery of programs and services are adequately maintained and protected).

- identifying applications for disposition and addressing legacy issues.

- documenting reporting procedures according to Treasury Board and departmental policies and procedures.

- documenting the crucial compliancy and verification steps.

The fact that the Crown could be liable for failure to deliver programs and services to the public if its information technology systems fail and appropriate contingency or work-around plans are not implemented highlights the need for accurate record keeping. Complete and accurate records will better position the Crown to demonstrate that the Government took all reasonable steps in the circumstances to ensure that it would be able to continue to deliver programs and services.

6.2 Organization of Year2000 Records

A key instrument in the effective organization, storage and retrieval of records is a subject classification system. While it may not meet the needs of all government institutions, IMF working group members have developed a model subject classification system which can be applied to Year2000 records. This classification system can be found in **Appendix C.**

7. RETENTION AND DISPOSITION

Capturing authentic and reliable records and maintaining them for as long as they are required is fundamental to good record keeping in the Government of Canada. It allows government institutions to deliver effective programs and services, make sound decisions, meet their accountability obligations *and protect against liability*. In establishing retention periods, institutions and other government bodies and jurisdictions are determining what records need to be kept and for how long. The orderly disposition of records of no enduring value brings about savings in terms of cost and space. Finally, the preservation of records of archival or historic significance enhances the corporate memory of the Government of Canada and of the collective memory of Canada itself. The following sections provide guidance on setting retention periods for records related to Year2000 initiatives and the legislative imperatives governing their disposition.

7.1 Setting Retention Periods

Establishing retention periods for records associated with Year2000 initiatives is governed by a number of criteria. A number of them are generic to setting retention periods while the issues of liability and due diligence bring an increased sense of importance to this activity.

There are a number of ***laws and policies*** which impact on records retention. First and foremost are the **enabling legislation, statutes or regulation** which provide the authority for the institution, government body or other jurisdiction to carry out its programs and services. Second, there is the suite of **government-wide legislation and policy (see Appendix B).** Finally, there may be **provincial or territorial laws and policies** which must be respected depending on the business function and area of activity.

The **administrative and operational requirements** of the organization are also extremely important in establishing retention periods for records related to Year2000 initiatives. Retention of Year2000 records must be linked to the programs and services and automated systems which support them whether they are operational or administrative in nature.

The issue of **liability** is a critical factor in determining which records must be kept and for how long. There is no precedent, at this time, which allows for the selection or creation of records retention standards for records related to Year2000 initiatives.

In addition to the above criteria, Year2000 records may have **enduring archival value and historical significance.** This value is determined by staff at The National Archives of Canada (NA) under provisions of the *National Archives of Canada Act (1987)* which govern the disposition of the records of government institutions. NA staff are currently working to provide authoritative advice and guidance to government institutions (see Section 7.2) in this area.

Given that there are no existing standards that may be appropriate for all institutions or other government bodies and jurisdictions, **it is necessary that Year2000 Project Teams (or the appropriate specialists) establish retention periods for their Year2000 records**. This is best achieved by ensuring that all legal, fiscal, evidentiary, administrative and operational imperatives have been established. Consultations should include all impacted jurisdictions such as program and application managers, records and information specialists such as those involved in Essential Records, Business Resumption Planning, ATIP, Security, Records and Information Management (including Disposition), etc. as well as legal counsel.

7.2 Authorized Disposition of Records

Section 5(1) of the *National Archives of Canada Act* states that "[n]o record under the control of a government institution and no ministerial record, whether or not it is surplus property of a government institution, shall be destroyed or disposed of without the consent of the Archivist. Section 6(1) states that "[t]he records of government institutions and ministerial records that, in the opinion of the Archivist, are of historic or archival importance shall be transferred to the care and control of the Archivist in accordance with such schedules or other agreements for the transfer of records as may be agreed on between the Archivist and the government institution or person responsible for the records."

Government institution means a government institution listed in Schedule I to the *Access to Information Act* or the schedule to the *Privacy Act*. Each institution falling under the *NA Act* must obtain a Records Disposition Authority from the National Archivist in order to dispose of any records.

In relation to the Year 2000 problem, disposition falls into two areas:

- electronic records residing in systems that institutions have decided will *not* be converted to Y2K readiness, whose software and hardware environment may fail due to the Y2K problem;

  and

- records in electronic or paper format that have been created to document institutional efforts to make electronic systems Y2K-compliant.

These two situations are discussed below.

Disposition of Electronic Records in Non-Y2K Compliant Systems

As government institutions work to make their mission critical systems Year 2000 compliant, they are identifying other systems of lesser importance which will *not* be converted. Nonetheless, these non-compliant systems could contain records in electronic form that have long-term operational and archival value. In these cases, *de facto* unauthorized disposal of electronic records can occur if systems are not maintained as active and if system documentation for such inactive systems is misplaced or destroyed.

The National Archives has launched an initiative to identify electronic records in systems that will not be converted to Y2K compliance which (1) are covered by a Records Disposition Authority and have been identified as being of archival value or (2) may be of archival value but are not yet covered by a Records Disposition Authority. Electronic records covered by Records Disposition Authorities but not identified as being of archival and historical value can be disposed of without further authorization by the National Archives providing that all other legislative and policy imperatives (such as the Access to Information and Privacy legislation and policies) have been satisfied.

Since the summer of 1998, National Archives Information Systems Analysts have worked with federal government institutions to determine which non-Y2K compliant systems are covered by Records Disposition Authorities, and which systems contain electronic records that must be appraised by the National Archives. Work that needs to be undertaken by institutions and the National Archives will be negotiated with each institution on a case by case basis and incorporated into existing or new Multi-Year Disposition Plans. More information on the disposition of electronic records in non-Y2K compliant systems is available in a "frequently asked questions" document available through the National Archives of Canada web site (www.archives.ca). A set of guidelines to ensure that the electronic records in databases and their contextual information and systems documentation are safeguarded until disposition can take place has been prepared. These guidelines are provided as **Appendix D** of this document and are also available at www.archives.ca.

Disposition of Records Concerning Y2K Projects in Institutions

The disposition of records that document institutions' efforts to make systems Year 2000 compliant will take place within the regular National Archives disposition process, according to existing Multi-Institutional Disposition Authorities covering common administrative records (including the General Records Disposal Schedules) or Institution-Specific Records Disposition Authorities.

Further Information

The National Archives Information Systems Analyst assigned to each institution is available to discuss disposition requirements and to assist institutions in the identification of non-compliant systems. For more information, please contact the Government Archives and Records Disposition Division at 947-1480.

8. AWARENESS STRATEGIES

The Year2000 issue may have an impact on the ability to protect and preserve information holdings. Given the legal and operational consequences, it is important that organizations and individuals understand the record keeping issues and their roles and responsibilities in implementing effective record keeping practices at the desk top and within large scale computer applications.

The purpose of this section is to provide advice and guidance on how Year2000 Project Teams and Records and Information Management specialists can build awareness of Year2000 record keeping issues within government institutions and other government bodies and jurisdictions.

Awareness of the Year2000 record keeping issues is created by disseminating timely information and has as its main components an analysis and understanding of the current situation, an identification of problems and/or weaknesses, the identification of potential solutions, and a recommended course of action. Answering the following questions will help do this:

- What are my responsibilities?
- What do we do now?
- What policy, standards, practices and procedures exist to support what we do?
- What should we be doing?
- How do we do it?
- Why do we do it?

The **objectives** of an effective awareness strategy are:

- promote a better understanding of the Year2000 issue and of its possible effect(s) on the information holdings,
- sensitize senior management and obtain their support for record keeping initiatives,
- promote employee participation at all levels,
- create an interest in records and information management,

Awareness strategies could include:

- building partnerships internally and externally,
- identifying champions within an organization,
- developing communication tools such as templates for pamphlets, fact sheets and newsletter articles,
- developing simple but original promotional material that is both effective and economical, and
- undertaking activities to increase awareness and support.

Activities could include:

- making presentations to senior management committees and other management and staff committees,
- meeting with management and staff in the workplace,
- establishing "door-to-door" awareness campaigns,
- setting up strategically located information kiosks,
- organizing contests and promotional days.

Communication Tools could include:

- memorandum to senior management,
- newsletters,
- posters,
- information kits containing pamphlet, fact sheets and frequently asked questions and answers,
- Intranet sites to provide information and contact numbers,
- dedicated telephone line with recorded voice mail message,
- Year2000 letterheads, post-it notes, etc. with Year2000 logo.

There are a number of **Evaluation Indicators** which could be employed to measure the effectiveness of the awareness strategies:

- the number of hits on a net site,
- the number of copies of information pamphlets, newsletters, kits, etc. distributed,

- the number of requests for additional information,
- participation in various activities,
- feedback from management and staff.

NOTE: ***Appendix E*** *contains a sample awareness brochure highlighting the Year2000 record keeping issues.*

APPENDIX A - SAMPLE YEAR2000 RECORD KEEPING POLICY FOR GOVERNMENT INSTITUTIONS AND OTHER GOVERNMENT BODIES AND JURISDICTIONS

Issue Date
Expiry Date To be advised
File No.
Bulletin No.
Subject **Retention of Departmental Documents Relating to Year 2000 Issues**

PURPOSE

1. This bulletin establishes the policy for retaining all documentation produced by the Department relating to both the need to make all Departmental applications Year2000 compliant, and all actions taken to become compliant.

POLICY

2. (Organization Name), as part of their legal obligation, must capture and retain all information related to Year2000 compliance activities.

POLICY OBJECTIVE

3. To ensure an audit trail exists in the future of all decisions made and all steps taken with respect to making all departmental applications Year2000 compliant.

BACKGROUND

4. The Department must comply with all legislative and policy requirements for the Government of Canada. Included in these are the Access to Information and Privacy legislation and policies as well as the scheduling requirements of section 5(1) and 6(1) of the *National Archives of Canada Act*. These sections of the NA Act identify the legal prohibition against destroying or disposing of records without the consent of the National Archivist of Canada.

5. Apart from the need to comply with the *National Archives of Canada Act*, it is important that the Department have evidence to show it took all reasonable steps to become Year2000 compliant. Such evidence will assist a court in determining, in any future litigation, whether the Department should be liable for any damage that might arise from failure to provide a service as a result of system failure. The more evidence the Department has that it took all reasonable precautions, the stronger its legal position. This will also enhance its chances of successfully defending itself.

DEFINITIONS

6. The following definitions apply to this policy:

Audit Trail - A record of activities that is sufficient to enable the reconstruction, review, and examination of the sequence of environments and activities surrounding or leading to each event in the path of a transaction, from its inception to output of final results. This includes both electronic and paper trails.

Corporate Information - information received or generated to support departmental programs.

Information - a corporate asset or resource which is defined as data, facts or knowledge that is recorded, irrespective of form, recording media or technology used.

Retention Schedule - a timetable that identifies the length of time information must be retained in active and inactive status before final destruction or transfer to the archives repository of the National Archives of Canada.

Subject File Classification System - a logical arrangement for organizing information into a system based on the Departmental Subject Classification Guide (DSCG).

Transitory Information - information that is required for a limited time to ensure the completion of a routine action or the preparation of a subsequent document. Transitory information includes information in a form used for casual communication, draft versions of documents where comments and additional information are incorporated into subsequent versions, process versions of documents that were not communicated outside the creating office and duplicate versions of documents used as a reference source only. ***Transitory information does not include*** information required to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of government (even if the information is contained in an electronic mail message or other electronic document).

APPLICATION

7. This policy applies to all (Organization Name) employees, including agents and contractors.

POLICY REQUIREMENTS

8. All decisions made and all steps taken as a result of the Year2000 conversion project must be clearly documented in writing and maintained to authenticate the integrity of the information generated by departmental information systems.

9. All Year2000 related information is considered to be *essential* for business resumption purposes and must be incorporated into and maintained in a departmental subject file classification system, at the field, regional and headquarters' local office and Year 2000 Office levels.

10. The following classes of information, that relate to Year2000 activities, must be retained :

    - **Legal information** including contracts and related documents, as well as legal opinions;

    - **Policy information** that sets out the departmental policies and procedures with respect to Year2000 issues, including action plans and follow-up reports;

    - **Technical information** that will assist in the reconstruction of Year2000 activities across (Organization Name). These will include technical records, normally prepared concurrently with the event, of what work was done, when and by whom. The outcome of litigation will depend, to a considerable extent, on the quality of records retention in this area; and

    - **General correspondence** which includes any responses to questions or other information that was provided to the public on the Year2000 issue. As well, any correspondence between the Department and the provinces should be retained given the large role the Department has in administering the programs of the provinces, and the fact that provinces may have difficulties with their systems.

11. The specific types of Year2000 related information that must be retained include:

    - corporate information;

    - e-mail messages;

    - electronic documents; and

    - personal agendas, meeting notes and minutes that contain comments on business-related activities.

    Transitory information, relative to Year 2000 issues, must also be retained to provide a complete history of events for future reference.

    NOTE: The *"Authority for the Destruction of Transitory Records"*, issued in December 1990 by the National Archives of Canada does not apply to transitory information relative to Year 2000 issues.

Guideline Note: **The above represents the decision of the department whose policy was used as an example. It does not mean that the National Archives has suspended the application of the Transitory Authority and it remains in effect.**

All Year2000 corporate and transitory information must be retained until a separate Records Disposition Authority (i.e. retention schedule) is negotiated by the (Organization Name) and the National Archives of Canada. Once a Records Disposition Authority is approved, the disposition action described therein is to be applied to all departmental Year2000 information, regardless of medium.

14. Security requirements must be observed throughout the life cycle of all Year2000 information, as defined by departmental security policies.

RESPONSIBILITIES

15. The (Organization Name) is responsible for leadership and direction on Year2000 activities including strategies and plans that identify (Organization Name)'s preparedness for conversion in the Year 2000.

16. (Organization Name)'s Legal Services is responsible for providing advice on all Year 2000 legal implications. Legal Services also has a responsibility to capture and retain all legal information relating to Year2000 which is generated by it or provided to it.

17. The assigned Year2000 project coordinator, within the field, regional or headquarters office, is responsible for the preparation, implementation and monitoring of a subject file classification system for the Year2000 program, at the local office level. This system will facilitate the capture and retention of all information and documentation required to manage the program, track Year2000 readiness and provide a history of events for future reference, with advice from the Security Directorate, (Organization Name)'s Year2000 Office, and Year2000 legal advisor.

18. The Information Management Division is responsible for developing information management policies, providing functional guidance on the information *life cycle* and negotiating departmental retention schedules.

19. The Security Directorate is responsible for developing security policies, guidelines and standards and providing advice on the security requirements of information throughout its *life cycle*.

20. All employees, including agents and contractors, are responsible for complying with the policy requirements described herein and the guidelines/procedures as per **Appendix A** of this policy, relative to Year2000 information.

ACCOUNTABILITY PROCESS

21. The compliance and effectiveness of this policy will be assessed by Information Technology Branch, Security Directorate, Information Management Division and the local office's Year2000 project coordinator as well as through internal audits.

REFERENCES

22. The following Acts should be consulted as appropriate:

- *Access to Information Act*
- *Privacy Act*
- *National Archives of Canada Act*
- *Emergency Preparedness Act*

GUIDELINES/PROCEDURES

23. Refer to the "Appendix" attached to this policy.

ENQUIRIES

24. Information Technology
25. Year 2000 Project Office
26. Legal Services Counsel
27. Information Management
28. Security

APPENDIX B- LEGISLATION AND POLICY AFFECTING YEAR2000 INFORMATION HOLDINGS

The following acts and policies relate to the management of government information holdings in that those tools used by government employees to manage information are subject to strict information-keeping rules. These Acts are available on the Internet at:

(http://canada.justice.gc.ca/STABLE/EN/Laws/Chap/index.html)

For example:

National Archives of Canada Act

The Act placed statutory controls over the disposal of government records. No record under the control of a government institution and no ministerial record, whether or not it is surplus property shall be destroyed or disposed of without the consent of the Archivist (Section 5.1).

Privacy Act (http://canada.justice.gc.ca/STABLE/EN/Laws/Chap/P/P-21.html)

The Act governs the collection, use, disclosure, and disposal of personal information; protects the privacy of individuals with respect to personal information about themselves held by a government institution and provides individuals with a right of access to that information. In addition, the Act and the Privacy Regulations require that personal information be retained for a minimum of two years from the last administrative use unless the individual consents to its disposal. This requirement is separate and apart from whatever National Archives authorizations might be necessary.

Access to Information Act (http://canada.justice.gc.ca/STABLE/EN/Laws/Chap/A/A-1.html)

The Act makes institutions accountable for the information they control and for providing access to it (unless specifically exempt).

Canada Evidence Act, C5

Defines what constitutes evidence and what the government is required to produce as evidence in a court of law.

Bill C-6

An Act to support and promote electronic commerce by protecting personal information that is collected, used or disclosed in certain circumstances, by providing for the use of electronic means to communicate or record information or transactions and by amending the Canada Evidence Act, the Statutory Instruments Act and the Statute Revision Act.

(NOTE: This Act is currently under consideration. It received 3rd Reading on December 9, 1999 and is not law at the time of preparation of this document.)

TREASURY BOARD POLICY

Treasury Board Policies and guidelines are available on the Internet at:

http://www.tbs-sct.gc.ca/pubpol_e.html

Management of Government Information Holdings (MGIH) Policy, 1994

It is the policy of the government to:

- manage all information holdings as a corporate resource to support effective decision-making, meet operational requirements and protect the legal, financial and other interests of the government and the public;
- make the widest possible use of information within the government by ensuring that it is organized to facilitate access by those who require it, subject to legal and policy constraints;
- reduce the response burden on the public by eliminating unnecessary collections of information; and
- identify and conserve information holdings that serve to reconstruct the evolution of policy and program decisions or have historical or archival importance and to ensure that such information is organized in a manner to be readily available for the study of decision-making in government and other educational purposes which explain the historical role of the federal government in Canadian society.

This policy requires government institutions to:

- plan, direct, organize and control their information holdings throughout their life cycle, regardless of the form or medium in which the information is held;
- maintain a current, comprehensive and structured identification or classification system or systems which provide an effective means for organizing and locating information and, in composite form, comprise a corporate inventory for managing the institution's information holdings;
- manage all confidences of the Queen's Privy Council for Canada; and
- designate a senior official to represent the Deputy Head to Treasury Board Secretariat and other central agencies for the purpose of this policy.

NOTE: ***management of records/documents includes the identification, classification and retrieval, storage and protection, receipt and transmission, retention and disposal or preservation of the information.***

TREASURY BOARD POLICY

Treasury Board Policies and guidelines are available on the Internet at:

http://www.tbs-sct.gc.ca/pubpol_e.html

Management of Government Information Holdings (MGIH) Policy, 1994

It is the policy of the government to:

- manage all information holdings as a corporate resource to support effective decision-making, meet operational requirements and protect the legal, financial and other interests of the government and the public;
- make the widest possible use of information within the government by ensuring that it is organized to facilitate access by those who require it, subject to legal and policy constraints;
- reduce the response burden on the public by eliminating unnecessary collections of information; and
- identify and conserve information holdings that serve to reconstruct the evolution of policy and program decisions or have historical or archival importance and to ensure that such information is organized in a manner to be readily available for the study of decision-making in government and other educational purposes which explain the historical role of the federal government in Canadian society.

This policy requires government institutions to:

- plan, direct, organize and control their information holdings throughout their life cycle, regardless of the form or medium in which the information is held;
- maintain a current, comprehensive and structured identification or classification system or systems which provide an effective means for organizing and locating information and, in composite form, comprise a corporate inventory for managing the institution's information holdings;
- manage all confidences of the Queen's Privy Council for Canada; and
- designate a senior official to represent the Deputy Head to Treasury Board Secretariat and other central agencies for the purpose of this policy.

*NOTE: **management of records/documents includes the identification, classification and retrieval, storage and protection, receipt and transmission, retention and disposal or preservation of the information.***

Management of Information Technology (MIT) Policy, 1994

It is the policy of the government:

- to use information technology in renewing the way the government does its business, and to maintain a technologically adept and modern Public Service;
- to coordinate, and set overall directions for, government information technology; and
- to use a business-case approach to develop information technology strategies based on program priorities, and to select and approve government information technology investments that best meet the policy objective and show due regard for employees and members of the public.

Government Security Policy - Security Policy Manager's Handbook, TBS, 1997

The security policy establishes a framework of policy guidelines for implementing information security and privacy requirements. This framework requires departments to properly safeguard the personal information and other sensitive data contained in their information systems and used in their programs and services. It is based on the principle that safeguards for information and assets should reflect their sensitivity, importance and value Departments should ensure accountability for the security, integrity and availability of their information holdings through common information management infrastructures.

OTHER POLICIES, STRATEGIES, STANDARDS, ETC.

Canadian General Standards Board - Microfilm and Electronic Images as Documentary Evidence, 1993 - National Standard of Canada - CAN/CGSB-72.11-93

This standard provides guidelines for the capture of images of business source records and the secure storage of those images in order to maximize the probability of admissibility and weight given to business records as evidence.

Note: This, or any other Canadian General Standard are not available on the Internet. Check your departmental library for a copy or order from Canadian Government Standards Board, Sales Unit, Ottawa, Canada, K1A 1G6, (819) 956-0425/26.

Department of Justice Initiatives

- to facilitate electronic commerce and electronic service delivery.
- working on statutes and regulations regarding electronic records and electronic signatures being accepted as legal evidence.
- intent to provide general statutory authority to use any electronic or other means to create, collect, store, transfer, receive or otherwise handle documents or use information technology (thereby making electronic records an "official" record and

requiring legislation, policies, etc., protecting the information in the same way as paper already is).

NOTE: Information on DoJ initiatives on electronic commerce can be found on the Internet at: http://canada.justice.gc.ca/Commerce/index_en.html

Ministerial Correspondence - Managing Recorded Information in a Minister's Office, National Archives of Canada, 1992

Several important laws and policies come to bear on a minister's office. The principal ones deal with:

- access by the public to government information;
- prevention of unauthorized access to personal, classified or other sensitive information--when in storage, during active use, and while being transmitted;
- availability of information as legal evidence; and
- appropriate disposition methods for the different categories of records in a minister's office and the preservation of records that have historical value.

APPENDIX C - MODEL SUBJECT CLASSIFICATION SYSTEM FOR YEAR2000

Subject Classification System

To meet future operational and legal requirements, Departments must ensure that information relevant to the Year2000 issue is gathered, organized, protected, and made available when required. The following model Subject Classification System for Year2000 has been created to provide generic guidance to government institutions. It may not meet the needs of all government institutions, bodies and jurisdictions and functional specialists should be consulted, as appropriate, prior to using it.

Departmental Subject Classification System

9000 **Year2000 - General**
An 2000 - Généralités

Includes material of a general nature that relates to the Year2000 date issues; establishment of a Central Project Office; plans and priorities; and other material captured for those topics that are not captured elsewhere in the system.

-0 Policy
Politiques

-1 General
Généralités

-2 Strategic Planning
Planification stratégique

-3 Action Plans
Plans d'action

-4 Scheduling and Disposition of Systems
Conservation et disposition des systèmes

-5 Workshop on Risk Management and Contingency Planning
Atelier sur la gestion des risques et plannification des mesures d'urgence

-6 Embedded Systems Workshop
Atelier sur les systèmes intégrés

-7 Central Project Office (CPO)
Bureau de projet central (BPC)

-7-1 CPO - Consultant Contracts
BPC - Contrats de consultation

9005 **Year2000 - Committees**
An 2000 - Comités

Includes material related to committees and all other forums that directly pertain to the area of Year2000 such as material at all levels of government, inter-intra departmental, at the national and international level. Includes minutes, agendas, records of decision, membership lists, invitations, background material, etc.

-0 Policy
Politiques

-1 General
Généralités

-2 Advisory Committee on Information Management (ACIM)
Comité consultatif sur la gestion de l'information (CCGI)

-3 Standing Committee on Industry and the Year2000
Comité permanent sur l'industrie et l'an 2000

-4 Locally Shared Informatics Committee -Working Group on the Year2000
Comité de services d'informatiques partagés localement - Groupe de travail sur l'an 2000

-5 Department Planning Committee on Year2000
Comité de planification ministérielle sur l'an 2000

-6 Treasury Board Interdepartmental Working Group on the Year2000
Groupe de travail interministériel du Conseil du Trésor sur l'an 2000

-7 Treasury Board Subcommittee on Embedded Systems
Sous-comité du Conseil du Trésor sur les Microprocesseurs intégrés

-8 Treasury Board Subcommittee on Interfaces
Sous-comité du Conseil du Trésor sur les interfaces

-9 Treasury Board Subcommittee on Telecommunications
Sous-comité du Conseil du Trésor sur les télécommunications

-10 Treasury Board Subcommittee on Testing
Sous-comité du Conseil du Trésor sur les essais

-11 Treasury Board Subcommittee on Communications
Sous-comité du Conseil du Trésor sur les communications

-12 Information Management Forum Working Group on Year2000
Forum sur la gestion de l'information - Groupe de travail sur l'an 2000

9010 Year 2000 - Communications
An 2000 - Communications

Includes material related to internal and external communications of the goals, strategies, plans, programs and activities relating to the Year2000 initiatives by means of speeches, publications, newsletters, intranets, etc.

-0 Policy
Politiques

-1 General
Généralités

-2 Briefing Notes
Notes d'information

-3 Communications Plan
Plan de communications

-4 Invitations
Invitations

-5 Newsletters, Bulletin Board
Bulletins d'information, babillard éléctronique

-6 Presentations
Présentations

-7 Questions and Answers for the House of Commons
Questions-réponses à l'intention de la Chambre des communes

-8 Web and Database Development
Développement de Web et de banques de données

9015 **Year2000 - Funding**
An 2000 - Financement

Includes material related to the financial aspects of the Year2000 initiative, funding strategies, Treasury Board Submissions, etc.

-0 Policy
Politiques

-1 General
Généralités

-2 Strategy
Stratégie

-3 TB Submission
Soumission au Conseil du Trésor

9020 **Year 2000 - Inventory**
An 2000 - Inventaire

Includes material related to the inventory of hardware, software, databases, communications and facilities systems, by size, operating systems, etc. May also include material related to the identification of data interfaces with clients, suppliers and key business partners; performance of initial assessments of date frequency and risk exposure; identification of "critical event horizons" when key systems may begin to fail; and development of preliminary cost and effort forecasts

NOTE: for related primaries, please see: Y2000 - Departmental Mission Critical Projects 9060, 9065, 9070, 9075, 9080, 9085, 9090

-0 Policy
Politiques

-1 General
Généralités

-2 Applications and Systems
Applications et systèmes

-3 Computers, Servers and Laptops
Ordinateurs, serveurs et ordinateurs portatifs

-4 Embedded Systems
Microprocesseurs intégrés

-5 Grants and Contributions Programs Funding Descriptions
Descriptions des programmes de financement des subventions et contributions

-6 Interfaces
Interfaces

-7 Inventory Contract
Contrat pour l'inventaire

-8 Questionnaire
Questionnaire

-9 SAP Survey
Sondage sur le SAP

-10 Software
Logiciel

-10-1 Commercial - Off - The - Shelf Software (COTS)
Logiciels commerciaux

-11 Validation
Validation

9025 Year2000 - Legal Issues
An 2000 - Questions juridiques

Includes material related to legal expertise, advice in the development of corporate Year 2000 legal plans, defining key responsibilities for legal matters, disclosure and contracting strategies, appropriate due diligence protocols. May also include material relating to business and technical risk assessments, contingency plans etc.

-0 Policy
Politiques

-1 General
Généralités

-2 Legal Issues Paper from Justice Canada
Rapport de Justice Canada sur les questions juridiques

-3 Legal Risk Assessment
Évaluation des risques juridiques

-4 Contingency Plans
Plans d'urgences

-5 Business Risk Assessment
Évaluation des risques administratifs

-6 Technical Risk Assessment
Évaluation des risques techniques

9050 Year2000 - Reporting
An 2000 - Rapports

Includes material related to the monitoring and reporting of results related to the Year2000 initiatives through audits, statistics, surveys, evaluations and reviews, etc., and the results achieved on advancing the objectives set out in the Business Plans of the government institution and the resources expended.

-0 Policy
Politiques

-1 General
Généralités

-2 Status Reports
Rapports mise à jour

-3 Auditor General
Vérificateur général

-4 Treasury Board Reports and Surveys
Rapports et sondages du Conseil du Trésor

-5 Vendor Compliance Reports and Assurances
Rapports et confirmations de compatibilité des vendeurs

9060 **Year2000 - Departmental Mission Critical Projects - General**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Généralités

Includes material relating to government institutions mission critical projects as well as those topics that can not be adequately captured elsewhere in the system.

-0 Policy
Politiques

-1 General
Généralités

-2 Cabinet Document Tracking System
Système de suivi des documents du Cabinet

-3 Grants and Contributions System
Système de subventions et de contributions

9065 **Year2000 - Departmental Mission Critical Projects - Facilities**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Installations

Includes material relating to testing for Year2000 compliancy, remedial measures, enhancement options and implementation plans . Includes information on embedded systems, such as laboratory environmental controls, security systems, elevators, etc. - essentially any facilities component which has an embedded computer chip. May also include documentation such as: Facilities Committee meeting agendas, action items, minutes, and notes; embedded systems component inventory and status tracking; risk assessments by component; project plans and time lines; test plans, test scripts and results; system certification documents; and, vendor compliance statements.

-0 Policy
Politiques

-1 General
Généralités

9070 **Year2000 - Departmental Mission Critical Projects - Financial Management Syste...**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Système de gestion financière

Includes material related to information concerning the replacement of multiple existing systems with a single national system. Subjects of documents include: functional analysis and data clean up activities, data mapping, installation and/or upgrade of communications infrastructure, hardware and software (servers and clients); installation of database; configuration of application; creation of standardized reports; data conversion and loading, testing and preparation of user and system documentation and training.

-0 Policy
Politiques

-1 General
Généralités

-2 Preparatory Work
Travaux préparatoires

-3 Project Launching
Lancement des projets

-4 Remediation Activities
Activités correctives

-5 Testing
Essais

-6 Implementation
Mise en oeuvre

-7 Monitoring Activities
Activités de surveillance

9075 **Year2000 - Departmental Mission Critical Projects - Human Resources System**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Système des ressources humaines

Includes material related to information concerning the replacement of a non-compliant system for a completely new compliant system. Subjects of documents include: functional analysis and data clean up activities, data mapping,

installation and/or upgrade of communications infrastructure, hardware and software (servers and clients); installation of database; configuration of application; creation of standardized reports; data conversion and loading, testing and preparation of user and system documentation and training.

-0 Policy
Politiques

-1 General
Généralités

9080 Year2000 - Departmental Mission Critical Projects - Infrastructure Certification
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Certification de l'infrastructure

Includes material related to information concerning the testing of the infrastructure for Year2000 compliancy. Subjects of documents include: remediation measures, and enhancement options and implementation in the form of reports, test scripts, plans, electronic mail messages alerting staff of shut-downs, etc.

-0 Policy
Politiques

-1 General
Généralités

-2 Assessment Report
Rapport d'évaluation

-3 Testing - General
Essais - généralités

-3-1 Testing - Phase 1: Planning
Essais - Phase 1 : Planification

-3-2 Testing - Phase 2: Detailed Preparation
Essais - Phase 2 : Préparation détaillée

-3-3 Testing - Phase 3: Execution
Essais - Phase 3 : Exécution

-4 Remediation
Correction

9085 **Year2000 - Departmental Mission Critical Projects - Electronic Mail System**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Système de messagerie éléctronique

Includes material relating to testing for Year2000 compliancy, remediation measures, enhancement options and implementation in the forms of reports, test scripts, plans, electronic mail messages alerting staff of shut-downs, etc. May also include material relating to functional analysis and data clean up activities, data mapping, installation and/or upgrade of communications infrastructure, hardware and software (servers and clients); installation of databases; configuration of applications; creation of standardized reports; data conversion and loading, testing and preparation of user and system documentation.

-0 Policy
Politiques

-1 General
Général

9090 **Year2000 - Departmental Mission Critical Projects - Ministerial Correspondence System**
An 2000 - Projets indispensables à l'échelle ministérielle (IEM) - Système de correspondance ministérielle

Includes material related to the upgrading of an existing system to a newer compliant version of the same system. Subjects of documents include: user requirements, data requirements, acquisitions, testing and user training.

-0 Policy
Politiques

-1 General
Généralités

APPENDIX D - GUIDELINES FOR NON YEAR 2000 COMPLIANT SYSTEMS

NATIONAL ARCHIVES OF CANADA

GUIDELINES FOR THE SAFEGUARDING OF ELECTRONIC RECORDS IN NON-Y2K COMPLIANT SYSTEMS IN ACCORDANCE WITH THE *NATIONAL ARCHIVES OF CANADA ACT*

BACKGROUND

Section 5(1) of the *National Archives of Canada Act* states that no record under the control of a government institution shall be destroyed without the consent of the National Archivist. Even if institutions do not actively dispose of electronic records through the deletion of data or the destruction of recording media, *de facto* disposal of records in electronic form can occur if the systems in which they are stored are not maintained as active and if system documentation for such inactive systems is misplaced or destroyed.

ISSUE

In responding to the Year 2000 problem, it is widely understood that a number of information systems -- mainly databases -- of lesser importance to government institutions will be retired, rather than converted. Nonetheless, these systems could contain electronic records having long-term operational and archival value. In order to assist institutions in safeguarding such records until their long-term value is determined, the National Archives of Canada (NA) has identified three approaches to ensure post-Year 2000 access to records in non-Y2K compliant databases. These guidelines also specify what contextual information and system documentation must be preserved. This advice is limited to databases whose hardware or software environment is expected to malfunction. For the purposes of these guidelines, a database is defined as a set of data, consisting of at least one file or a group of integrated files, stored in one location and made available to users. The guidelines do not apply to other types of information systems, such as office automation systems. The options can be applied to:

- Databases identified as archival by the NA but which will not be transferred to our custody prior to 1 January 2000; and

- Databases which have not yet been, and cannot be appraised by the NA prior to 1 January 2000.

Please note that if an individual system is covered by a Records Disposition Authority, but has not been identified as being of archival and historical value, disposition can take place without further authorization by the National Archives.

OPTIONS TO SAFEGUARD RECORDS

1. **Export to flat file structure in ASCII (ISO 8859-1) code.** This is the logical format most frequently identified for databases being transferred to the NA. It is non-proprietary and can be easily re-loaded into a database environment. All standard system documentation (as defined below) is to be printed to paper, or extracted in the same file format as the data. The data would remain available to the NA in its original file structure, and basic "database functionality" would be retained.

2. **Establish a "replica" system** of the computer platform that was used to create, or currently maintains the database(s) in question. The internal clock in the "replica" system must remain set at a date of no later than 31 December 1999. All standard system documentation (as defined below) is to be maintained with the data or printed to paper. As additional insurance, the database(s) should be copied to compact disc (CD), or any other stable physical storage format which the government institution intends to support through the Year 2000 cross-over.

3. **Print to paper.** This option shall only be used for small applications which, when printed out, would result in less than 2,000 pages. In addition, the application software must be unable to export a flat file structure in ASCII code without additional custom programming (i.e., mainframes and minicomputers). The report format chosen must include all information required to meet the department's traditional operational requirements as well as any on-going reference requirements, with the records sorted in an order designed to facilitate consultation. All standard system documentation (as defined below) should also be printed to paper. This option ensures that the data would be available should the NA identify it for long-term preservation, though only as a paper document.

RELATED INFORMATION

Contextual Information

The following information is essential in order to determine the archival value of the records:

1. Complete **title** of the system, including common acronyms, if applicable

2. Identification of the **program area responsible** for the administration of the system, as well as the appropriate division/branch/directorate/institution; name and phone number of technical contact.

3. A brief description of the system's **purpose**.

4. If applicable, a brief description of any **sub-systems**, their purpose and relationship to the main system or other sub-systems.

5. **Links** to textual or other media records, normally through identifying file numbers or by some other means.

6. The number of the **Records Disposition Authority** covering the system, if in place.

System Documentation

This information is necessary for the technical evaluation of systems. System documentation, regardless of logical form, must include the following essential information:

1. **Record Layout** including, for each data element, the short field name (or acronym), its starting and ending position, its length and the type of data it will contain (alpha, numeric, alpha-numeric and any special occurrences such as packed decimal values).

2. **Data Definition** including, for each data element, a long field name, an equivalence to the short field name contained in the record layout above, and a comprehensive definition of the intended content of the field.

3. **Code values** for all coded fields, including the legal code values permitted in the field and the definition of each code allowed. These are often included with the data definitions above.

4. **User and/or system manager manuals**. These should include any literature (paper or electronic) describing the use of the application in the institution and how employees interact with it. These types of manuals frequently include examples of input forms, input screens, and sample reports generated by the application.

Any of the above can be submitted in paper form. If they exist in electronic form, database-type items should be forwarded in a flat ASCII file, while the format of word-processed documents needs to be negotiated with the NA in advance.

For further information or to propose other safeguarding alternatives, please contact the Information Systems Analyst responsible for your institution:

Government Archives and Records Disposition Division
National Archives of Canada
395 Wellington Street
Ottawa, ON K1A 0N3
tel: (613) 947-1480 fax: (613) 947-1546

Year 2000 Initiatives: Record Keeping guidelines for the government of Canada. December 17, 1999

Appendix E - Sample Year2000 Record Keeping Awareness Tool

Attached is a sample awareness brochure that could be used as a communication tool to increase awareness of record keeping issues related toYear2000 initiatives.

Appendix E